

Substitute Form PTO-1449 (Modified) Information Disclosure Statement by Applicant (Use several sheets if necessary) (37 CFR §1.98(b))	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 14952.0319	Application No. 10/772,425
	Applicant John V. Frangioni et al.		
	Filing Date February 6, 2004	Group Art Unit 3737	

U.S. Patent Documents

Examiner Initial	Desig. ID	Patent Number	Issue Date	Patentee	Class	Subclass	Filing Date If Appropriate
h	AA	5,262,357	11/16/1993	Alivisatos et al.			
h	AB	5,505,928	04/09/1996	Alivisatos et al.			
	AC	5,525,377	06/11/1996	Gallagher et al.			
	AD	5,537,000	07/16/1996	Alivisatos et al.			
	AE	5,585,640	12/17/1996	Huston et al.			
	AF	5,674,698	10/07/1997	Zarling et al.			
	AG	5,677,545	10/14/1997	Shi et al.			
	AH	5,751,018	05/12/1998	Alivisatos et al.			
	AI	5,985,173	11/16/1999	Grey et al.			
	AJ	5,985,353	11/16/1999	Lawton et al.			
	AK	5,990,479	11/23/1999	Weiss et al.			
	AL	6,054,495	4/25/2000	Markowitz et al.			
	AM	6,114,038	9/5/2000	Castro et al.			
	AN	6,139,585	10/31/2000	Li			
	AO	6,207,229	3/27/2001	Bawendi et al.			
	AP	6,251,303	6/26/2001	Bawendi et al.			
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	AR	6,319,426	11/20/2001	Bawendi et al.			
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	AT	6,379,635	4/30/2002	O'Brien et al.			
	AU	6,337,117	1/8/2002	Maenosono et al.			
	AV	6,444,143	9/3/2002	Bawendi et al.			
	AW	6,447,698	9/10/2002	Ihara et al.			
	AX	6,501,091	12/31/2002	Bawendi et al.			
	AY	6,548,168	4/15/2003	Mulvaney et al.			
	AZ	6,548,171	4/15/2003	Barbera-Guillem et al.			
h	AAA	2002/0066401	6/6/2002	Peng et al.			

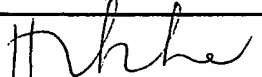
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hh	ABB	2003/0017264	1/23/2003	Treadway et al.			
hh	ACC	2003/0042850	3/6/2003	Bertram et al.			

Foreign Patent Documents or Published Foreign Patent Applications								
Examiner Initial	Desig. ID	Document Number	Publication Date	Country or Patent Office	Class	Subclass	Translation	
							Yes	No
hh	ADD	WO 98/04740	02/05/1998	PCT				
	AEE	WO 98/33070	07/30/1998	PCT				
	AFF	WO 00/27365	5/18/2000	PCT				
	AGG	WO 00/27436	5/18/2000	PCT				
	AHH	WO 00/28088	5/18/2000	PCT				
hh	AII	WO 00/28089	5/18/2000	PCT				

Other Documents (include Author, Title, Date, and Place of Publication)		
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hh	AJJ	Akerman et al., <i>Proc. Natl. Acad. Sci. USA</i> 99:12617-12621 (2002)
	AKK	Alivisatos et al., "Organization of 'nanocrystal molecules' using DNA," <i>Nature</i>, 382:609-611, August 15, 1996
	ALL	Alivisatos et al., "Semiconductor Clusters, Nanocrystals, and Quantum Dots," <i>Science</i>, 271:933-937, 1996
hh	AMM	Alivisatos, "Perspectives on the Physical Chemistry of Semiconductor Nanocrystals" <i>J. Phys. Chem.</i> 1996(100):13226-13239, 1996
	ANN	Anderson and Parrish, <i>J. Invest. Dermatol.</i> 77:13-19 (1981)
	AOO	Bawendi et al., "Luminescence properties of CdSe quantum crystallites: resonance between interior and surface localized states," <i>J. Chem. Phys.</i>, 96(2):946-954, January 15, 1992
	APP	Becker et al., <i>Nature Biotechnol.</i> 19:327-31 (2001)
	AQQ	Beverloo et al., "Preparation and Microscopic Visualization of Multicolor Luminescent Immunophosphors," <i>Cytometry</i>, 13:561-570, 1992
hh	ARR	Bruchez et al., "Semiconductor Nanocrystals as Fluorescent Biological Labels," <i>Science</i> , 281:2013-2016, September 25, 1998
	ASS	Bugaj et al., <i>J. Biomed. Opt.</i> 6:122-33 (2001)
	ATT	Cao and Banin, <i>J. Am. Chem. Soc.</i> 122:9692-9702 (2000)
	AUU	Cerussi et al., <i>Acad. Radiol.</i> 8:211-218 (2001)

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	AVV	Char et al., "Quantum Dot Bioconjugates for Ultrasensitive Nonisotopic Detection," <i>Science</i> , 281:2016-2018, 1998
	AWW	Chan et al., <i>Curr Opin Biotechnol</i> 13:40-46 (2002)
	AXX	Chance, <i>Ann. N.Y. Acad. Sci.</i> 838:29-45 (1998)
	AYY	Chen et al., <i>Mat. Res. Soc. Symp. Proc.</i> 691:359-364 (2002)
	AZZ	Cheong et al., <i>IEEE J. Quantum Electronics</i> 26:2166-2195 (1990)
	AAAA	Coffer et al., "Characterization of quantum-confined CdS nanocrystallites stabilized by deoxyribonucleic acid (DNA)," <i>Nanotechnology</i> , 3:69-76, 1992
	ABBB	Conway et al., <i>Am. J. Clin. Nutr.</i> 40:1123-1130 (1984)
	ACCC	Correa-Duarte et al., "Stabilization of CdS semiconductor nanoparticles against photodegradation by silica-coating procedure," <i>Chem. Phys. Lett.</i> , 286:497-501, April 17, 1998
nh	ADDD	Dabbousi, et al., "(CdSe)ZnS core-shell quantum dots: synthesis and characterization of a size series of highly luminescent nanocrystallites" <i>J. of Phys. Chem. B</i> 101(46):9463-9475, November 13, 1997
	AEEE	Danek et al., "Synthesis of Luminescent Thin-Film CdSe/ZnSe Quantum Dot Composites Using CdSe Quantum Dots Passivated with an Overlay of ZnSe" <i>Chem. Mater.</i> 8(1):173-180, 1996
	AFFF	Du et al., <i>Phys. Med. Biol.</i> 46:167-81 (2001)
	AGGG	Dubertret et al., <i>Science</i> 298:1759-1762 (2002)
	AHHH	Fridolin et al., <i>Phys. Med. Biol.</i> 45:3779-3792 (2000)
	AIII	Gan et al., "Enhanced Photoluminescence and Characterization of Mn-Doped ZnS Nanocrystallites Synthesized in Microemulsion" <i>Langmuir</i> 1997(13):6427-6431, 1997
nh	AJJJ	Gao et al., "Strongly Photoluminescent CdTe Nanocrystals by Proper Surface Modification," <i>J. Phys. Chem.</i> , 102:8360-8363, 1998
	AKKK	Gaponik et al., <i>J. of Phys. Chem. B</i> 106:7177-7185 (2002)
	ALLL	Gardner et al., <i>Lasers Surg. Med.</i> 18:129-138 (1996)
	AMMM	Gerion et al., <i>J. Am. Chem. Soc.</i> 124:7070-7074 (2002)
	ANNN	Goldman, E.R., et al., 2002 <i>J. Am. Chem. Soc.</i> 124, 6378
	AOOO	Goldman et al., <i>Anal. Chem.</i> 74:841-847 (2002)
	APPP	Guzelian et al., <i>Applied Physics Letters</i> 69:1432-1434 (1996)
nh	AQQQ	Han M. et al., "Quantum-dot-tagged microbeads for multiplexed optical coding of biomolecules," <i>Nature Biotech.</i> 19:631-635.
	ARRR	Harrison et al., <i>Materials Science & Engineering, B: Solid-State Materials for Advanced Technology</i> B69:355-360 (2000)
	ASSS	Hines et al., "Synthesis and Characterization of Strongly Luminescing ZnS-Capped CdSe Nanocrystals" <i>J. Phys. Chem.</i> 100:468-471, January 1996
	ATTT	Jacques, Vol. 1999, Oregon Medical Laser Center News (1999)

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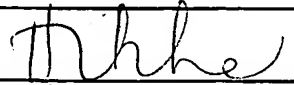
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	AUUU	Jaiswal et al., "Long-term multiple color imaging of live cells using quantum dot bioconjugates," <i>Nature Biotechnol.</i> 21:1, 47-51, January 2003
	AVVV	Jarvis et al., "Solution Synthesis and Photoluminescence Studies of Small Crystallites of Cadmium Telluride," <i>Mat. Res. Soc. Symp. Proc.</i> , 272:229-234, 1992
	AWWW	Kershaw et al., <i>IEEE Journal of Selected Topics in Quantum Electronics</i> 6, 534-543 (2000)
	AXXX	Klarreich, <i>Nature</i> 413:450-452 (2001)
	AYYY	Kortan et al., "Nucleation and Growth of CdSe on ZnS Quantum Crystallite Seeds, and Vice Versa, In Inverse Micelle Media" <i>J. Am. Chem. Soc.</i> 112:1327-1332, 1990
	AZZZ	Kou, L. et al., <i>Appl. Opt.</i> 32:3531-3540 (1993)
	AAAAA	Kuenstner et al., <i>Biospectroscopy</i> 3:225-232 (1997)
	ABBBB	Kuno et al., "The band edge luminescence of surface modified CdSe nanocrystallites: Probing the luminescing state" <i>J. Chem. Phys.</i> 106(23):9869-9882, June 1997
	ACCCC	Lawless et al., "Bifunctional Capping of CdS Nanoparticles and Bridging to TiO ₂ " <i>J. Phys. Chem.</i> 99:10329-10335, 1995
	ADDDD	Lee et al., "Surface Derivatization of Nanocrystalline CdSe Semiconductors," <i>Mat. Res. Soc. Symp. Proc.</i> , 452:323-328, 1997
	AEEEE	Lee, I. et al., "Full Color Emission from H-VI Semiconductor Quantum Dot-Polymer Composites," <i>Adv. Mater.</i> 12:1102-1105, 2000.
	AFFFF	Liz-Marzan et al., "Synthesis of Nanosized Gold-Silica Core-Shell Particles" <i>Langmuir</i> 12:4329-4335, 1996
	AGGGG	Ludolph, B., et al., "Novel single molecule precursor routes for the direct synthesis of highly monodispersed quantum dots of cadmium or zinc sulfide or selenide," <i>Chem. Commun.</i> 1998: 1849-1850, 1998.
	AHHHH	Mahtab et al., "Preferential absorption of a 'kinked' DNA to a neutral curved surface: comparison to and implications for nonspecific DNA-protein interactions," <i>J. Am. Chem. Soc.</i> , 118:7028-7032, July 31, 1996
	AIIII	Mahtab et al., "Protein-sized quantum dot luminescence can distinguish between 'straight', 'bent', and 'kinked' oligonucleotides," <i>J. Am. Chem. Soc.</i> , 117:9099-9100, September 6, 1995
	AJJJJ	Matsumoto et al., "Preparation of Monodisperse CdS Nanocrystals by Size Selective Photocorrosion" <i>J. Phys. Chem.</i> 100(32):13781-13785, 1996
	AKKKK	Mattoussi, H., et al., "Self-assembly of CdSe-ZnS Quantum Dot Bioconjugates Using an Engineered Recombinant Protein," <i>J. Am. Chem. Soc.</i> 122:12142-12150, 2000.
hw	ALLLL	Mikulec et al., "Fluorescent semiconductor nanocrystallites derivatized with biomolecules" <i>Amer. Chem. Soc. Nat'l Meeting</i> , Boston, MA, August 24, 1998
	AMMMM	Mourant et al., <i>Appl. Opt.</i> 36:949-957 (1997)
	ANNNN	Murphy et al., "Quantum dots as inorganic DNA-binding proteins," <i>Mat. Res. Soc. Symp.</i> , 452:597-600, 1997
	AOOOO	Murray et al., "Synthesis and Characterization of Nearly Monodisperse CdE (E=S, Se, Te) Semiconductor Nanocrystallites" <i>J. Am. Chem. Soc.</i> 115(19):8706-8715, 1993
	APPPP	Murray et al., <i>IBM Journal of Research and Development</i> 45:47-56 (2001)

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	AQQQQ	Nakayama et al., "Functional near-infrared fluorescence imaging for cardiac surgery and targeted gene therapy," <i>Molecular Imaging</i> (2002)
	ARRRR	Nirmal et al., "Fluorescence Intermittency in single Cadmium Selenide Nanocrystals" <i>Nature</i> 383:802-804, October 1996
	ASSSS	Pathak S., et al., 2001 <i>J. Am. Chem. Soc.</i> 123, 4103
	ATTTT	Pehnt et al., "Nanoparticle Precursor Route to Low-Temperature Spray Deposition of CdTe Thin Films," <i>Appl. Phys. Lett.</i>, 67(15):2176-2178, October 9, 1995
	AUUUU	Peng et al., "Epitaxial Growth of Highly Luminescent CdSe/CdS Core/Shell Nanocrystals with Photostability and Electronic Accessibility," <i>J. Am. Chem. Soc.</i>, 119:7019-7029, July 30, 1997
	AVVVV	Peng et al., "Synthesis and Isolation of a Homodimer of Cadmium Selenide Nanocrystals," <i>Angewandte Chemie</i>, 36:145-147, February 3, 1997
	WWWWW	Rajh et al., "Synthesis and Characterization of Surface-Modified Colloidal CdTe Quantum Dots" <i>J. Phys. Chem.</i> 97:11999-12003, Nov. 1993
	AXXXX	Rogach et al., "Synthesis and characterization of Thiol-Stabilized CdTe Nanocrystals" <i>Ber. Bunsenges. Phys. Chem.</i> 100(11):1772-2778, 1996
	AYYYY	Rogach et al., <i>Advanced Materials (Weinheim, Germany)</i> 11:552-555 (1999)
	AZZZZ	Rosenthal et al., <i>J. Am. Chem. Soc.</i> 124:4586-4594 (2002)
ph	AAAAA	Spanhel et al., "Photochemistry of Colloidal Semiconductors. Surface Modification and Stability of Strong Luminescing CdS Particles" <i>J. Am. Chem. Soc.</i> 109(19):5649-5655, 1987
	ABBBBB	Steigerwald et al., "Surface Derivatization and Isolation of Semiconductor Cluster Molecules," <i>J. Am. Chem. Soc.</i>, 110:3046-3050, 1988
	ACEEEE	van Staveren et al., <i>Applied Optics</i> 30:4507-4514 (1991)
	DDDDD	Wan et al., <i>Photochem. Photobiol.</i> 34:679-681 (1981)
	AEEEE	Wang, Y.A., et al., 2002 <i>J. Am. Chem. Soc.</i> 124, 2293
	AFFFF	Weissleder et al., <i>Nature Biotechnol.</i> 17:375-378 (1999)
	GGGGG	Weissleder, <i>Nature Biotechnol.</i> 19:316-7 (2001)
	HHHHH	Whitesell, "Directionally Aligned Helical Peptides on Surfaces", <i>Science</i>, 261:73-75, July 2, 1993
ph	AIIII	Wu et al., "Immunofluorescent labeling of cancer marker Her2 and other cellular targets with semiconductor quantum dots," <i>Nature Biotechnology</i> 21:1, 41-46, January 2003
	AJJJJ	Zaheer et al., <i>Nature Biotechnol.</i> 19:1148-1154 (2001)

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rh		6,410,255 B1	6/25/2002	Pollok et al.			
		6,447,749 B1	9/10/2002	Licha et al.			

Foreign Patent Documents or Published Foreign Patent Applications

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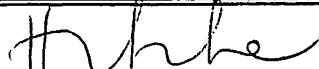
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(37 CFR §1.98(b))

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	AA	Ekimov, A.I., et al., "Quantum-Confined Atoms of Doped ZnO Nanocrystals," <i>Phys. Stat. Sol. (b)</i> 229, No. 2, 897-901 (2002).
	AB	Ekimov, A.I. et al., "Spin-flip and acoustic phonon Raman scattering in CdS nanocrystals," <i>Physical Review B</i>, Vol. 58, No. 4, 15 (July 1998-II), 2077-2087
	AC	Ekimov, A.I. et al., "CdS nanocrystal growth in thin silica films: evolution of size distribution function," <i>Journal of Crystal Growth</i> 184/185 (1998) 360-364.
	AD	Ekimov, A.I. et al., "Dynamics of excitons in CuBr nanocrystals: Spectral-hole burning and transient four-wave-mixing measurements," <i>Physical Review B</i>, Vol. 57, No. 3, 15 January 1998-I, 1774-1783.
	AE	Ekimov, A.I. et al., "Size-selective resonant Raman scattering in CdS doped glasses," <i>Physical Review B</i>, Vol. 57, No. 1, 1 January 1998-I, 341-346.
hh	AF	Ekimov, A.I. et al., "Growth and optical properties of semiconductor nanocrystals in a glass matrix," <i>Journal of Luminescence</i> 70 (1996) 1-20.
	AG	Ekimov, A.I. et al., "Size-dependence of acoustic and optical vibrational modes of CdSe nanocrystals in glasses," <i>Journal of Non-Crystalline Solids</i> 197 (1996) 238-246.
	AH	Ekimov, A.I. et al., "Subpicosecond dynamics of confined excitons in CuCl nanocrystals," <i>Materials Science and Engineering A</i> 217/218 (1996) 167-170.
	AI	Ekimov, A.I. et al., "Enhancement of electron-hole exchange interaction in CdSe nanocrystals: A quantum confinement effect," <i>Physical Review B</i>, Vol. 53, No. 3, 15 January 1996-I, 1336-1342.
	AJ	Ekimov, A.I. et al., "Subpicosecond dynamics of confined excitons and optical nonlinearities of CuCl quantum dots," <i>Journal of Luminescence</i> 66 & 67 (1996) 406-409.
	AK	Ekimov, A.I. et al., "Size-dependent Electron-Hole Exchange Interaction in CdSe Quantum Dots," <i>Il Nuovo Cimento</i>, Vol. 17, Nos. 11-12, (1995) 1407-1412.
	AL	Ekimov, A.I. et al., "Polaron and Exciton-Phonon Complexes in CuCl Nanocrystals," <i>Physical Review Letters</i>, Vol. 74, No. 9, 27 February 1995, p.1645.
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hh	AN	Ekimov, A.I. et al., "Effects of Resonance on Low-Frequency Raman Scattering From Semiconductor Nanocrystals," <i>Radiation Effects and Defects in Solids</i> , 1995, Vol. 137, pp-45-50.
	AO	Ekimov, A.I. et al., "Optical Properties of Oxide Glasses Doped by Semiconductor Nanocrystals," <i>Radiation Effects and Defects in Solids</i>, 1995, Vol. 134, pp-11-22.
	AP	Ekimov, A.I. et al., "Enhancement of Exciton Exchange Interaction by Quantum

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		Confinement in CdSe Nanocrystals," <i>Jpn. J. Appl. Phys.</i>, Vol. 34, 12-14 (1994).					
	AQ	Ekimov, A.I. et al., "Growth of CdS nanocrystals in silicate glasses and in thin SiO₂ films in the initial states of the phase separation of a solid solution," <i>Semiconductors</i>, 28 (5), May 1994, 486-493.					
	AR	Ekimov, A.I. et al., "Interface effects on the properties of confined excitons in CuCl microcrystals," <i>Journal of Luminescence</i> 60 & 61 (1994) 396-399.					
	AS	Ekimov, A. I., "Surface Recombination of Nonequilibrium Electron-Hole Plasma in Laser-Modified Semiconductor-Doped Glasses," <i>Solid State Communications</i>, Vol. 87, No. 6, 577-580 (1993).					
	AT	Ekimov, A. I. "Dynamics of Nonlinear Optical Response of CuBr-Doped Glasses," <i>Superlattices and Microstructures</i>, Vol. 3, No. 2, 199-202 (1993).					
	AU	Ekimov, A. I., "Absorption and intensity-dependent photoluminescence measurements on CdSe quantum dots: assignment of the first electronic transitions," <i>Journal of the Optical Society of America</i>, Vol. 10, Nos. 1-12, 100-107 (1992).					
	AV	Ekimov, A.I. et al. "Preparation and investigation of SiO₂ films activated by CdS semiconductor nanocrystals," <i>Soviet Physics Semiconductors</i>, Vol. 26, 57-59 (1992).					
	AW	Ekimov, A.I. et al. "Generation of reflected second harmonic at semiconductor quantum dots," <i>JETP Letters</i>, Vol. 55, No. 8, 435-439 (1992).					
hh	AX	Ekimov, A.I. et al. "Dimensional Effects in Luminescence Spectra of Zero-Dimensional Semiconductor Structures," <i>Bulletin of the Russian Academy of Sciences</i>, Vol. 56, No. 2, pp. 154-157, February, 1992.					
	AY	Ekimov, A.I. et al., "Fast switching of the transmission of light by glasses activated with CdS microcrystals," <i>Sov. Phys. Semicond.</i>, Vol. 25 No. 2, 164-166 (1991).					
	BA	Ekimov, A.I. et al., "Resonance Raman Spectroscopy of Electron-Hole Pairs -- Polar Phonon Coupling in Semiconductor Quantum Microcrystals," <i>Solid State Communications</i>, Vol. 78, No. 10, pp. 853-856, 1991.					
hh	BB	Ekimov, A.I. et al., "Optics of Zero Dimensional Semiconductor Systems, <i>Acta Physica Polonica A</i>," Vol. 79 (1991), No. 1. pp. 5-14.					
	BC	Ekimov, A.I. et al., "Optical Properties of Semiconductor Quantum Dots in Glass Matrix," <i>Physica Scripta</i>. Vol. T39, 217-222 (1991).					
	BD	Ekimov, A.I. et al. "Rapid Processes of Darkening and Bleaching in CdS Doped Glasses," <i>Superlattices and Microstructures</i> Vol. 10, No. 3, 307-310 (1990).					
	BE	Ekimov, A.I. et al., "Auger ionization of semiconductor quantum drops in a glass matrix," <i>Journal of Luminescence</i> 47 (1990) 113-127 North-Holland.					
hh	BF	Ekimov, A.I. et al., "Time-Resolved Luminescence of CdSe Microcrystals," <i>Solid State Communications</i>, Vol. 74, No. 7, pp. 555-557, 1990.					
hh	BG	Ekimov, A.I. et al., "Quantum-Size Stark Effect in Semiconductor Microcrystals,"					

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Substitute Form PTO-1449 (Modified)		U.S. Department of Commerce Patent and Trademark Office		Attorney's Docket No. 14952.0319		Application No. 10/772,425	
Information Disclosure Statement by Applicant (Use several sheets if necessary)				Applicant John Frangioni, et al.			
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(37 CFR §1.98(b))							
		Journal of Luminescence 46 (1990) 97-100 North-Holland.					
	BH	Ekimov, A.I. et al., "Spectra and Decay Kinetics of Radiative Recombination in CdS Microcrystals," Journal of Luminescence 46 (1990) 83-95 North-Holland.					
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hh	BN	Ekimov, A.I. et al., "Nonlinear optical properties of semiconductor microcrystals," <i>JETP Lett.</i> , Vol. 46, No. 10, 25 November 1987 pp. 435-439.					
	BO	Ekimov, A.I. et al., "Quantization of the energy spectrum of holes in the adiabatic potential of the electron," <i>JETP Lett.</i> , Vol. 43, No. 6, 25 March 1986, pp. 376-379.					
hh	BP	Ekimov, A.I. et al., "Quantum Size Effect in Semiconductor Microcrystals," <i>Solid State Communications</i> , Vol. 56, No. 11, pp. 921-924, 1985.					
hh	BQ	Ekimov, A.I. et al., "Size quantization of the electron energy spectrum in a microscopic semiconductor crystal," <i>JETP Lett.</i> , Vol. 40, No. 8, 25 October 1984, pp. 1136-1139.					
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Examiner Signature <i>H. H. H.</i>	Date Considered <i>11/05</i>
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